Atty. Dkt. No. 035905-0104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Thomas H. LEE et al.

Title: DENSE ARRAYS AND CHARGE STORAGE DEVICES, AND METHODS FOR MAKING SAME

Appl. No.: 09/927,648

Filing Date: 08/13/2001

Examiner: Howard Weiss

Art Unit: 2818

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.56

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(c), before the mailing date of either a final action under 37 CFR §1.113, a notice of allowance under 37 CFR §1.113, or an action that otherwise closes prosecution in the application.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

FEE

A fee in connection with submission of an information disclosure statement under 37 CFR §1.97(c) in the amount of $180.00 in accordance with 37 CFR §1.17(p) is attached.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Atty. Dkt. No. 035905-0104

Respectfully submitted,

Date 7/15/03

By _____

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Date Submitted: 7/15/03

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Sheet	1	of	1

Complete if Known	
Application Number	09/927,648
Filing Date	08/13/2001
First Named Inventor	Thomas H. Lee
Group Art Unit	2818
Examiner Name	Howard Weiss
Attorney Docket Number	035905-0104

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	C18	6,323,515	B1	Yamazaki, et al	11/27/01	
	C19	6,577,531	B2	Kato	6/10/03	
	C20	6,509,602	B2	Yamazaki, et al	1/21/03	
	C21	6,472,684	B1	Yamazaki, et al	10/29/02	
	C22	6,498,369	B1	Yamazaki, et al	12/24/02	
	C23	6,255,705	B1	Zhang, et al	7/3/01	

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Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	C24		EP 1017 100	A1	Shimoda, Tatsuya et al	7/5/00		Y

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[6]

Examiner Signature		Date Considered	

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				**Application Number**	09/927,648
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Date Submitted: November 27, 2001				**First Named Inventor**	Thomas H. Lee et al.
				Group Art Unit	2818
(use as many sheets as necessary)				Examiner Name	Unassigned
Sheet	1	of	7	Attorney Docket Number	035905/0104

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	A51	5,427,979		Chang	6/27/1995	
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Date Submitted: November 27, 2001				**First Named Inventor**	Thomas H. Lee et al.
(use as many sheets as necessary)				Group Art Unit	2818
				Examiner Name	Unassigned
Sheet	2	of	7	Attorney Docket Number	035905/0104

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Sheet 3 of 7

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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of th item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[6]
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Sheet 4 of 7

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				Examiner Name	Unassigned
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
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Sheet 6 of 7

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Group Art Unit	2818
Examiner Name	Unassigned
Attorney Docket Number	035905/0104

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[6]
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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				**Application Number**	09/927,648
Date Submitted: June 11, 2002				**Filing Date**	08/13/2001
(use as many sheets as necessary)				**First Named Inventor**	Thomas H. LEE et al
				Group Art Unit	2818
				Examiner Name	Unassigned
Sheet	1	of	7	Attorney Docket Number	035905-0104

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	B1	4,500,905		Shibata		
	B2	6,185,122		Johnson et al.		
	B3	3,414,892		McCormack et al.	12/13/1968	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Date Submitted: June 11, 2002

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Sheet 2 of 7

Complete if Known	
Application Number	09/927,648
Filing Dat	08/13/2001
First Nam d Invent r	Thomas H. LEE et al.
Group Art Unit	2818
Examiner Name	Unassigned
Attorney Docket Number	035905-0104

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Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (*if known*)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
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Sheet 3 of 7

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				Group Art Unit	2818
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Sheet	4	of	7	Attorney Docket Number	035905-0104

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Application Number	09/927,648
Filing Date	08/13/2001
First Named Inventor	Thomas H. LEE et al.
Group Art Unit	2818
Examiner Name	Unassigned
Attorney Docket Number	035905-0104

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Sheet 6 of 7

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Application Number	09/927,648
Filing Date	08/13/2001
First Named Inventor	Thomas H. LEE et al.
Group Art Unit	2818
Examiner Name	Unassigned
Attorney Docket Number	035905-0104

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Group Art Unit	2818
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